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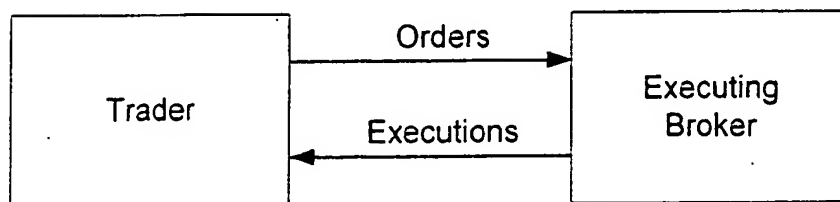


Fig. 1 (Prior Art)

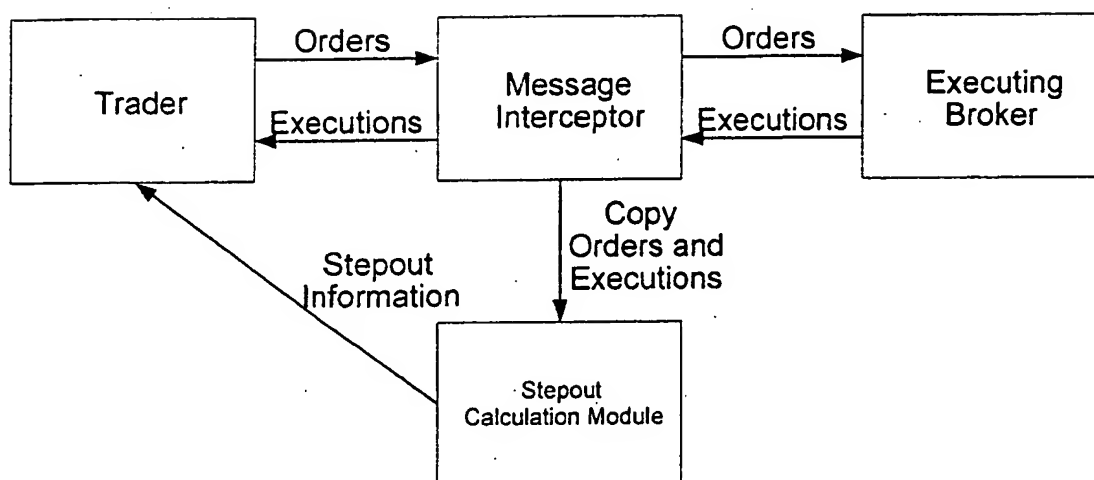


Fig. 2

Title:

SYSTEM FOR PROVIDING STEP OUT
COMMISSIONS AND COMPENSATION
FOR RESEARCH BROKERS

EXPRESS MAIL
EL 988617934 US

Inventor:

Hansen, et al.; Docket No.: 1100-074

SideKick v0.3a90

Exec Quality | Millennium | Payments | Budget | Brokers | Recapture

Broker	Executing	Anonymous	Step-in	Step-out	Net
FIF	\$30,390.00				\$30,390.00
MONT	\$882.00				\$882.00
FBCO	\$612.00				\$612.00
BERM	\$410.00				\$410.00
SBSH	\$250.00				\$250.00
KILCO	\$153.00				\$153.00
UBSW	\$123.00				\$123.00
WACH	\$76.00				\$76.00
MAX					
CCMC					
MOKE					
SRC					
VNDM					
AVON					
GIRL					
DRKW					

EQ Sym ExeQty StepQty Rate

Q AA	63000	151216	\$0.03
Q C	500000		\$0.03
Q PCG	300000	600000	\$0.03
SAP	150000		\$0.03

Order Qty 300000

Broker Stepout Qty Stepout \$

211 2112 2113

Fidelity Capital Markets

Overview | Stepout | AutoStepout

201 202 203 204 205 206 207 208 209 210 211

76 SideKick v0.3a90

Exec Quality

Millennium

Payments

Budget

Brokers

Recapture

EQ	Broker	Symbol	Ord Qty	Step Qty	Rate
<input type="checkbox"/>	FIFI	AA	302433		\$0.03
<input type="checkbox"/>	BERN	CAT	80000		\$0.05
<input type="checkbox"/>	FIFI	C	500000		\$0.03
<input type="checkbox"/>	MONT	MSFT	74000		\$0.06
<input type="checkbox"/>	FBCO	PFE	65000		\$0.06
<input type="checkbox"/>	MLCO	WMT	36000		\$0.03
<input type="checkbox"/>	FIFI	PCG	1200000		\$0.03
<input type="checkbox"/>	FIFI	SAP	300000		\$0.03
<input type="checkbox"/>	SBSH	LYG	21000		\$0.05
<input checked="" type="checkbox"/>	UBSW	CAT	97000		\$0.03
<input type="checkbox"/>	MONT	GE	64000		\$0.06
<input type="checkbox"/>	FBCO	LYG	59000		\$0.06
<input type="checkbox"/>	BERN	XOM	70000		\$0.05
<input type="checkbox"/>	MONT	GE	74000		\$0.06
<input type="checkbox"/>	FBCO	BP	89000		\$0.06
<input type="checkbox"/>	WACH	JNJ	89000		\$0.04

From	To	Symbol	Stepout Qty	Stepout \$
FIFI	FBCO	AA	63000	\$1 890.00
UBSW	MONT	CAT	4100	\$123.00

Overview

Stepout

AutoStepout

Stepout

Print Report

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Fig 24

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SYSTEM FOR PROVIDING STEP OUT
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301 x 302 / 303 304
SIDEKICK v0.3a90

Exec Quality Millennium Payments Budget Brokers Recapture

PK	MPID	Full Name
1	FBCD	Credit Suisse First Boston
1	UBSW	UBS Warburg
1	MLCO	Merrill Lynch
1	GSCD	Goldman Sachs
1	SBSH	Salomon Smith Barney
2	MONT	Bank of America Securities
2	BEFIN	Sanford C. Bernstein & Co., Inc.
2	WACH	Wachovia Securities
2	DBCC	Deutsche Bank
2	FIFI	Fidelity Capital Markets
3	INGB	ING Barings
3	SFSS	San Francisco Sentry

Commission Rate (cents): 30.00 - 54
Commission Recapture: No commission recapture
As Ratio: 30.6
From Fixed Base: 30.2

Step Outs
☒ Allow stepouts from this firm.
Max % Stepout (long term): 30%
Max % Stepout (single trade): 30%

Payment Method:
☒ Executing commissions only
☐ Traditional step-in
☐ Anonymous step-in via Nyfix
☐ Direct "hard dollar" payments

Payment Interval:
☒ Immediately (upon clearing)
☐ Weekly
☐ Start of month
☐ Middle of month
☐ End of month
☐ Accrual of

Client Directions: 300 301 302 303 304
Client: Account No: % Order Qty: 305

Stop Sim
Performance Settings Notification

Cancel Apply

Page 3

42 \$06

7. SideKick v0.3a8

Execution Quality | Payments | Budget | Brokers | Sell: Dollars

MPID	Full Name

Commission Notification Report

Be advised you have been stepped out \$payment from \$ourfirm.
Payment will be wired by Nyfix Transaction Services at the close
of business today.

Any problems, contact the Nyfix help desk 1-800-NYFIX

Best regards,

Joe Trader,
\$ourfirm

Notification

- ☐ When actual payments are made
- ☐ Whenever commission is accrued
- ☐ End of Week
- ☐ End of Month
- ☐ Whenever account accrues multiple of \$500.00

Performance | Settings | Notification

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Fig 6

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SYSTEM FOR PROVIDING STEP OUT
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Hansen, et al.; Docket No.:1100-074

7' SideKick v0.3a90

Exec Quality Millennium Payments Budget Brokers Recapture Debug Debug2

From	Symbol	Ord Qty	Step Qty	Rate
FFI	AA	302433	151216	\$0.03
FFI	C	500000		\$0.03
BERN	CAT	80000		\$0.05
MSFT				\$0.02

Step-out preferences
Less More
Number of stepouts
Stepout quantity
Prefer large orders
Use favored stock
Avoid blocked stock
Symbol AA JNU
Add Favored Add Bloc MSFT
Delete Selected

Step-in preferences
Less More
Adhere to client d
Pay the furthest b
Pay salt dollar bro
Spread payments out

Overview Stepout AutoStepout

Fig 7

515 576 577

76 Sidekick v0.3.290

Exec Quality

Millennium

Payments

Budget

Brokers

Recapture

Estimated share of total commission "pie" for each firm. The exact amount to be paid is determined when you authorize the payment.

Rk	Broker	Target %	Target \$	Actual \$
1	FBCO	4.00%	\$140,000.00	\$63,182.00
1	UBSW	5.00%	\$175,000.00	\$114,623.00
1	MLCO	5.00%	\$175,000.00	\$44,150.00
1	GSCO	6.00%	\$210,000.00	\$52,562.00
1	SBSH	4.00%	\$140,000.00	\$35,150.00
2	MONT	3.00%	\$105,000.00	\$58,015.00
2	BERN	3.00%	\$105,000.00	\$26,996.00
2	WACH	3.00%	\$105,000.00	\$68,456.00
2	DBCC	3.00%	\$105,000.00	\$69,227.00
2	FIFI	3.00%	\$105,000.00	\$68,250.00
3	INGB	2.50%	\$87,500.00	\$22,447.00
3	SFSS	2.50%	\$87,500.00	\$57,578.00
3	AVS	2.50%	\$87,500.00	\$48,405.00
3	ADAM	2.50%	\$87,500.00	\$39,433.00
3	RAJA	3.00%	\$105,000.00	\$36,871.00
4	OPCO	2.00%	\$70,000.00	\$45,938.00
4	SCHB	2.50%	\$87,500.00	\$22,161.00

Credit Suisse First Boston

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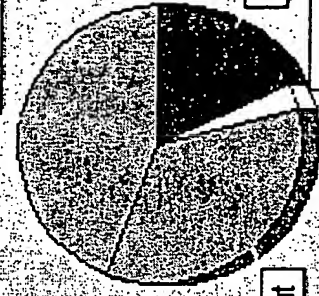
Hansen, et al.; Docket No.:1100-074

Estimated commission budget for one year. The budget can be changed at any time. The numbers are used by the system to auto-calculate step-outs and anonymous commission payments.

Estimated total commission for year: \$3,500.00

Unallocated commission: \$630.00

44% Executing



35% Stepout

18% Discret

3% Soft

Fig 8